



# IBM Charlotte

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Charlotte, NC 28262-4333

## IBM Intellectual Property Law Department

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To: United States Patent And Trademark Office Fax #: 703-746-9195

From: Norm Gundel Karl Hesse X Jim Palmer  
 (704) 594-8302 (704) 594-8300 (704) 594-8304  
 T/L 794-8302 T/L 794-8300 T/L 794-8304

Number of Pages to Follow: 13 Date: April 29, 2002

### Application Information:

Applicant: Mestre, Lionel Examiner: \_\_\_\_\_  
 File Date: \_\_\_\_\_ Serial Number: 10/015,310 Group Art: 2122

Title: Method and apparatus for generating serialization code for representing a model in different type systems.

### Items Included in FAX:

1. Request for Substitute Papers
2. Copy of Return Postcard / certified mail date
3. Transmittal Form
4. Fee Transmittal Form with \$240.00 in fees.
5. Petition and Fee For Extension of Time - 1 Month
6. Copy of Notice To File Missing Parts of NonProvisional Application
7. Declaration and Oath - executed

Charged to Deposit Account # 09-0469: \$ \$ 40.00

If you have any problems with this fax transmission, please call Jim Palmer at (704) 594-8304. Originating Fax Number: (704) 594-8307 or 8-794-8307 on the IBM tie line network.

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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231  
 www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
10/015,310	12/12/2001	Mestre, Lionel	CA9 2000 0064 US1

26849

INTERNATIONAL BUSINESS MACHINES CORPORATION  
 INTELLECTUAL PROPERTY LAW, DEPT. QPZA/ 210  
 8501 IBM DRIVE  
 CHARLOTTE NC 28262

Title: Method and apparatus for generating serialization code for representing a model in different type systems

Date Mailed:04/25/2002

## Request for Substitute Papers

The papers filed on 04/03/02 (certificate of mailing dated 03/26/02) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated 703-746-9195

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO strongly prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within two (2) weeks of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. A copy of this notice should be included with the reply.

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: KARL D HESSE Registration No.: 25,398  
 Signature: [Signature] Date: 29 APRIL 2002

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IBM CORPORATION  
INTELLECTUAL PROPERTY LAW  
MG90  
8501 IBM DRIVE  
CHARLOTTE, NC 28262-8563

**USPTO Please Stamp Date and Return.**

Applicants: Mestre et al. Art Unit: 2122  
Serial Number: 10/015,310 Filing Date: December 12, 2001  
Title: Method and Apparatus for Generating Serialization  
Code for Representing a Model in Different Type System  
- Transmittal Form  
- Fee Transmittal Form with 240.00 in Fees  
- Petition for Extension of Time, 1 Month  
- Copy of Notice to File Missing Parts  
- Declaration & Oath, Executed  
- Certified Copy of Priority Document  
- Return Postcard  
Charged to Deposit Account #09-0469 \$ 240.00  
Certificate of Mailing Date: March 26, 2002  
Docket Number: CA9 2000 0064 US1

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PTCSB/21 (09-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	10/015,310
		Filing Date	December 12, 2001
		First Named Inventor	Lionel Mestre
		Group Art Unit	2122
		Examiner Name	
Total Number of Pages in This Submission	9	Attorney Docket Number	CA9 2000 0064 US1

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Reply  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input checked="" type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)  <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Changes of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communications to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual Name	International Business Machines Corporation 8501 IBM Drive, Intellectual/Property Law Dept. Charlotte, NC 28262-4333
Signature	<i>Karl O Hesse</i> <i>KARL O HESSE</i>
Date	26 MAR 02 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class			
Mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:			March 26, 2002
Typed or printed name	James D. Palmer		
Signature	<i>James D. Palmer</i>	Date	March 26, 2002

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PTO/SB/17 (11-00)

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number	10/015,310
Filing Date	December 12, 2001
First Named Inventor	Lionel Mestre
Examiner Name	
Group Art Unit	2122
Attorney Docket No.	CA9 2000 0064 US1

TOTAL AMOUNT OF PAYMENT	\$ 240.00
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## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account 09-0469  
Number   
Deposit   
Account   
Name

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATIONS

## 1. BASIC FILING FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fees	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) **\$ 0.00**

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
-20** =	X		
Independent Claims - 3** =	X		
Multiple Dependent			

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over Original patent

SUBTOTAL (2) **\$ 0.00**

\*\* or number previously paid, if greater; For Reissue, see above

## FEE CALCULATION (continued)

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
138	130	139	130	Non-English specification	
147	2,250	147	2,250	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	115	55	Extension for reply within first month	110.00
116	390	216	195	Extension for reply within 2nd month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petition to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.117(c)	
128	180	128	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per Property (times number of properties)	
148	710	248	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be Examined (37 CFR § 1.129(b))	
179	710	279	355	Request for continued Examination (RCE)	
169	900	169	900	Request for expedited examination Of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

**\$ 240.00**

## SUBMITTED BY

Name (Print/Type)	Karl Q. Hesse	Registration No. (Attorney/Agent)	25,398	Telephone	(704) 594-8300
Signature	<i>Karl Q. Hesse</i>	Date	March 26, 2002		

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/015,310	12/12/2001	Lionel Mestre	CA9 2000 0064 US1

CONFIRMATION NO. 5550

26849

INTERNATIONAL BUSINESS MACHINES CORPORATION  
INTELLECTUAL PROPERTY LAW, DEPT. QPZA/ 210  
8501 IBM DRIVE  
CHARLOTTE, NC 28262

## FORMALITIES LETTER



\*0C000000007299906\*

Date Mailed: 01/11/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

KSM/CON

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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